

## PATENT COOPERATION TREATY

PCT

NOTIFICATION OF RECEIPT OF  
RECORD COPY

(PCT Rule 24.2(a))

From the INTERNATIONAL BUREAU

To:

KOIKE, Akira  
No.11 Mori Bldg., 6-4, Toranomon 2-  
chome  
Minato-ku, Tokyo 105-0001  
JAPON

|   |   |
|---|---|
| Date of mailing (day/month/year)<br>27 July 2001 (27.07.01) | IMPORTANT NOTIFICATION                          |
| Applicant's or agent's file reference<br>SK01PCT91          | International application No.<br>PCT/JP01/05725 |

The applicant is hereby notified that the International Bureau has received the record copy of the international application as detailed below.

Name(s) of the applicant(s) and State(s) for which they are applicants:

SONY CORPORATION (for all designated States except US)  
YANAGITA, Noboru et al (for US)

International filing date : 02 July 2001 (02.07.01)  
Priority date(s) claimed : 30 June 2000 (30.06.00)  
Date of receipt of the record copy  
by the International Bureau : 13 July 2001 (13.07.01)  
List of designated Offices :

EP : AT,BE,CH,CY,DE,DK,ES,FI,FR,GB,GR,IE,IT,LU,MC,NL,PT,SE,TR  
National : US

## ATTENTION

The applicant should carefully check the data appearing in this Notification. In case of any discrepancy between these data and the indications in the international application, the applicant should immediately inform the International Bureau.

In addition, the applicant's attention is drawn to the information contained in the Annex, relating to:

- ☒ time limits for entry into the national phase  
☒ confirmation of precautionary designations  
☐ requirements regarding priority documents

A copy of this Notification is being sent to the receiving Office and to the International Searching Authority.

|  |   |
|--|---|
| The International Bureau of WIPO<br>34, chemin des Colombettes<br>1211 Geneva 20, Switzerland<br><br>Facsimile No. (41-22) 740.14.35 | Authorized officer:<br><br>Y. KUWAHARA<br><br>Telephone No. (41-22) 338.83.38 |
|--|---|

## INFORMATION ON TIME LIMITS FOR ENTERING THE NATIONAL PHASE

The applicant is reminded that the "national phase" must be entered before each of the designated Offices indicated in the Notification of Receipt of Record Copy (Form PCT/IB/301) by paying national fees and furnishing translations, as prescribed by the applicable national laws.

The time limit for performing these procedural acts is **20 MONTHS** from the priority date or, for those designated States which the applicant elects in a demand for international preliminary examination or in a later election, **30 MONTHS** from the priority date, provided that the election is made before the expiration of 19 months from the priority date. Some designated (or elected) Offices have fixed time limits which expire even later than 20 or 30 months from the priority date. In other Offices an extension of time or grace period, in some cases upon payment of an additional fee, is available.

In addition to these procedural acts, the applicant may also have to comply with other special requirements applicable in certain Offices. **It is the applicant's responsibility** to ensure that the necessary steps to enter the national phase are taken in a timely fashion. Most designated Offices do not issue reminders to applicants in connection with the entry into the national phase.

**For detailed information about the procedural acts to be performed to enter the national phase before each designated Office, the applicable time limits and possible extensions of time or grace periods, and any other requirements, see the relevant Chapters of Volume II of the PCT Applicant's Guide. Information about the requirements for filing a demand for international preliminary examination is set out in Chapter IX of Volume I of the PCT Applicant's Guide.**

GR and ES became bound by PCT Chapter II on 7 September 1996 and 6 September 1997, respectively, and may, therefore, be elected in a demand or a later election filed on or after 7 September 1996 and 6 September 1997, respectively, regardless of the filing date of the international application. (See second paragraph above.)

Note that only an applicant who is a national or resident of a PCT Contracting State which is bound by Chapter II has the right to file a demand for international preliminary examination.

## CONFIRMATION OF PRECAUTIONARY DESIGNATIONS

This notification lists only specific designations made under Rule 4.9(a) in the request. It is important to check that these designations are correct. Errors in designations can be corrected where precautionary designations have been made under Rule 4.9(b). The applicant is hereby reminded that any precautionary designations may be confirmed according to Rule 4.9(c) before the expiration of 15 months from the priority date. If it is not confirmed, it will automatically be regarded as withdrawn by the applicant. There will be no reminder and no invitation. Confirmation of a designation consists of the filing of a notice specifying the designated State concerned (with an indication of the kind of protection or treatment desired) and the payment of the designation and confirmation fees. Confirmation must reach the receiving Office within the 15-month time limit.

## REQUIREMENTS REGARDING PRIORITY DOCUMENTS

For applicants who have not yet complied with the requirements regarding priority documents, the following is recalled.

Where the priority of an earlier national, regional or international application is claimed, the applicant must submit a copy of the said earlier application, certified by the authority with which it was filed ("the priority document") to the receiving Office (which will transmit it to the International Bureau) or directly to the International Bureau, before the expiration of 16 months from the priority date, provided that any such priority document may still be submitted to the International Bureau before that date of international publication of the international application, in which case that document will be considered to have been received by the International Bureau on the last day of the 16-month time limit (Rule 17.1(a)).

Where the priority document is issued by the receiving Office, the applicant may, instead of submitting the priority document, request the receiving Office to prepare and transmit the priority document to the International Bureau. Such request must be made before the expiration of the 16-month time limit and may be subjected by the receiving Office to the payment of a fee (Rule 17.1(b)).

If the priority document concerned is not submitted to the International Bureau or if the request to the receiving Office to prepare and transmit the priority document has not been made (and the corresponding fee, if any, paid) within the applicable time limit indicated under the preceding paragraphs, any designated State may disregard the priority claim, provided that no designated Office may disregard the priority claim concerned before giving the applicant an opportunity to furnish the priority document within a time limit which is reasonable under the circumstances.

Where several priorities are claimed, the priority date to be considered for the purposes of computing the 16-month time limit is the filing date of the earliest application whose priority is claimed.

## PATENT COOPERATION TREATY

PCT

NOTIFICATION CONCERNING  
SUBMISSION OR TRANSMITTAL  
OF PRIORITY DOCUMENT

(PCT Administrative Instructions, Section 411)

From the INTERNATIONAL BUREAU

To:

KOIKE, Akira  
No.11 Mori Bldg., 6-4, Toranomom 2-  
chome  
Minato-ku, Tokyo 105-0001  
JAPON

|   |                               |
|---|-------------------------------|
| Date of mailing (day/month/year)<br>27 July 2001 (27.07.01)           | <b>IMPORTANT NOTIFICATION</b> |
| Applicant's or agent's file reference<br>SK01PCT91                    |                               |
| International application No.<br>PCT/JP01/05725                       |                               |
| International publication date (day/month/year)<br>Not yet published  |                               |
| International filing date (day/month/year)<br>02 July 2001 (02.07.01) |                               |
| Priority date (day/month/year)<br>30 June 2000 (30.06.00)             |                               |
| Applicant<br>SONY CORPORATION et al                                   |                               |

- The applicant is hereby notified of the date of receipt (except where the letters "NR" appear in the right-hand column) by the International Bureau of the priority document(s) relating to the earlier application(s) indicated below. Unless otherwise indicated by an asterisk appearing next to a date of receipt, or by the letters "NR", in the right-hand column, the priority document concerned was submitted or transmitted to the International Bureau in compliance with Rule 17.1(a) or (b).
- This updates and replaces any previously issued notification concerning submission or transmittal of priority documents.
- An asterisk(\*) appearing next to a date of receipt, in the right-hand column, denotes a priority document submitted or transmitted to the International Bureau but not in compliance with Rule 17.1(a) or (b). In such a case, **the attention of the applicant is directed** to Rule 17.1(c) which provides that no designated Office may disregard the priority claim concerned before giving the applicant an opportunity, upon entry into the national phase, to furnish the priority document within a time limit which is reasonable under the circumstances.
- The letters "NR" appearing in the right-hand column denote a priority document which was not received by the International Bureau or which the applicant did not request the receiving Office to prepare and transmit to the International Bureau, as provided by Rule 17.1(a) or (b), respectively. In such a case, **the attention of the applicant is directed** to Rule 17.1(c) which provides that no designated Office may disregard the priority claim concerned before giving the applicant an opportunity, upon entry into the national phase, to furnish the priority document within a time limit which is reasonable under the circumstances.

| <u>Priority date</u>    | <u>Priority application No.</u> | <u>Country or regional Office<br/>or PCT receiving Office</u> | <u>Date of receipt<br/>of priority document</u> |
|-------------------------|---------------------------------|---|---|
| 30 June 2000 (30.06.00) | 2000-200369                     | JP  | 13 July 2001 (13.07.01)                         |

The International Bureau of WIPO  
34, chemin des Colombettes  
1211 Geneva 20, Switzerland

Facsimile No. (41-22) 740.14.35

Authorized officer

Y. KUWAHARA

Telephone No. (41-22) 338.83.38

## PATENT COOPERATION TREATY

PCT

NOTICE INFORMING THE APPLICANT OF THE  
COMMUNICATION OF THE INTERNATIONAL  
APPLICATION TO THE DESIGNATED OFFICES

(PCT Rule 47.1(c), first sentence)

From the INTERNATIONAL BUREAU

To:

KOIKE, Akira  
No.11 Mori Bldg., 6-4, Toranomon 2-  
chome  
Minato-ku, Tokyo 105-0001  
JAPON

|  |   |                  |
|--|---|------------------|
| Date of mailing (day/month/year)<br>03 January 2002 (03.01.02) |   |                  |
| Applicant's or agent's file reference<br>SK01PCT91             |   | IMPORTANT NOTICE |
| International application No.<br>PCT/JP01/05725                | International filing date (day/month/year)<br>02 July 2001 (02.07.01) |                  |
| Priority date (day/month/year)<br>30 June 2000 (30.06.00)      |   |                  |
| Applicant<br>SONY CORPORATION et al                            |   |                  |

1. Notice is hereby given that the International Bureau has **communicated**, as provided in Article 20, the international application to the following designated Offices on the date indicated above as the date of mailing of this notice:
- US

In accordance with Rule 47.1(c), third sentence, those Offices will accept the present notice as conclusive evidence that the communication of the international application has duly taken place on the date of mailing indicated above and no copy of the international application is required to be furnished by the applicant to the designated Office(s).

2. The following designated Offices have waived the requirement for such a communication at this time:
- EP

The communication will be made to those Offices only upon their request. Furthermore, those Offices do not require the applicant to furnish a copy of the international application (Rule 49.1(a-bis)).

3. Enclosed with this notice is a copy of the international application as published by the International Bureau on 03 January 2002 (03.01.02) under No. WO 02/01564

#### REMINDER REGARDING CHAPTER II (Article 31(2)(a) and Rule 54.2)

If the applicant wishes to postpone entry into the national phase until 30 months (or later in some Offices) from the priority date, a **demand for international preliminary examination** must be filed with the competent International Preliminary Examining Authority before the expiration of 19 months from the priority date.

It is the applicant's sole responsibility to monitor the 19-month time limit.

Note that only an applicant who is a national or resident of a PCT Contracting State which is bound by Chapter II has the right to file a demand for international preliminary examination (at present, all PCT Contracting States are bound by Chapter II).

#### REMINDER REGARDING ENTRY INTO THE NATIONAL PHASE (Article 22 or 39(1))

If the applicant wishes to proceed with the international application in the **national phase**, he must, within 20 months or 30 months, or later in some Offices, perform the acts referred to therein before each designated or elected Office.

For further important information on the time limits and acts to be performed for entering the national phase, see the Annex to Form PCT/IB/301 (Notification of Receipt of Record Copy) and the PCT Applicant's Guide, Volume II.

|   |                                    |
|---|------------------------------------|
| The International Bureau of WIPO<br>34, chemin des Colombettes<br>1211 Geneva 20, Switzerland | Authorized officer<br><br>J. Zahra |
| Facsimile No. (41-22) 740.14.35   | Telephone No. (41-22) 338.91.11    |

# INTERNATIONAL SEARCH REPORT

International application No.

PCT/JP01/05725

## A. CLASSIFICATION OF SUBJECT MATTER

Int.Cl<sup>7</sup> G11B27/00

According to International Patent Classification (IPC) or to both national classification and IPC

## B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

Int.Cl<sup>7</sup> G11B27/00, 20/10, G06F3/00

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

|                           |           |                            |           |
|---------------------------|-----------|----------------------------|-----------|
| Jitsuyo Shinan Koho       | 1922-1996 | Toroku Jitsuyo Shinan Koho | 1994-2001 |
| Kokai Jitsuyo Shinan Koho | 1971-2001 | Jitsuyo Shinan Toroku Koho | 1996-2001 |

Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

| Category* | Citation of document, with indication, where appropriate, of the relevant passages   | Relevant to claim No. |
|-----------|--|-----------------------|
| Y         | JP 9-167473 A (Sony Corporation),<br>24 June, 1997 (24.06.97),<br>pages 2 to 7; Figs. 1 to 10 (Family: none)                       | 1-12                  |
| Y         | JP 10-308088 A (Sony Corporation),<br>17 November, 1998 (17.11.98),<br>pages 3 to 17; Figs. 1 to 33<br>& EP 851421 A               | 1-12                  |
| Y         | JP 7-56787 A (Microsoft Corporation),<br>03 March, 1995 (03.03.95),<br>pages 4 to 8; Figs. 1 to 15<br>& EP 632367 A & US 5758360 A | 1-12                  |
| A         | JP 9-171676 A (Sony Corporation),<br>30 June, 1997 (30.06.97),<br>Full text; all drawings (Family: none)                           | 1-12                  |
| A         | JP 9-34906 A (Toshiba Corporation),<br>07 February, 1997 (07.02.97),<br>Full text; all drawings (Family: none)                     | 1-12                  |

☐ Further documents are listed in the continuation of Box C.

☐ See patent family annex.

\* Special categories of cited documents:  
 "A" document defining the general state of the art which is not considered to be of particular relevance  
 "E" earlier document but published on or after the international filing date  
 "L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)  
 "O" document referring to an oral disclosure, use, exhibition or other means  
 "P" document published prior to the international filing date but later than the priority date claimed

"T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention  
 "X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone  
 "Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art  
 "&" document member of the same patent family

Date of the actual completion of the international search  
25 September, 2001 (25.09.01)

Date of mailing of the international search report  
02 October, 2001 (02.10.01)

Name and mailing address of the ISA/  
Japanese Patent Office

Authorized officer

Facsimile No.

Telephone No.

## 国際調査報告

(法8条、法施行規則第40、41条)  
[PCT18条、PCT規則43、44]

|                             |   |                         |
|-----------------------------|---|-------------------------|
| 出願人又は代理人<br>の書類記号 SK01PCT91 | 今後の手続きについては、国際調査報告の送付通知様式(PCT/ISA/220)<br>及び下記5を参照すること。 |                         |
| 国際出願番号<br>PCT/JP01/05725    | 国際出願日<br>(日.月.年) 02.07.01                               | 優先日<br>(日.月.年) 30.06.00 |
| 出願人(氏名又は名称)<br>ソニー株式会社      |   |                         |

国際調査機関が作成したこの国際調査報告を法施行規則第41条(PCT18条)の規定に従い出願人に送付する。  
この写しは国際事務局にも送付される。

この国際調査報告は、全部で 3 ページである。

☐ この調査報告に引用された先行技術文献の写しも添付されている。

## 1. 国際調査報告の基礎

a. 言語は、下記に示す場合を除くほか、この国際出願がされたものに基づき国際調査を行った。

☐ この国際調査機関に提出された国際出願の翻訳文に基づき国際調査を行った。

b. この国際出願は、ヌクレオチド又はアミノ酸配列を含んでおり、次の配列表に基づき国際調査を行った。

☐ この国際出願に含まれる書面による配列表

☐ この国際出願と共に提出されたフレキシブルディスクによる配列表

☐ 出願後に、この国際調査機関に提出された書面による配列表

☐ 出願後に、この国際調査機関に提出されたフレキシブルディスクによる配列表

☐ 出願後に提出した書面による配列表が出願時における国際出願の開示の範囲を超える事項を含まない旨の陳述書の提出があった。

☐ 書面による配列表に記載した配列とフレキシブルディスクによる配列表に記載した配列が同一である旨の陳述書の提出があった。

2. ☐ 請求の範囲の一部の調査ができない(第I欄参照)。

3. ☐ 発明の単一性が欠如している(第II欄参照)。

4. 発明の名称は ☒ 出願人が提出したものを承認する。

☐ 次に示すように国際調査機関が作成した。

5. 要約は ☒ 出願人が提出したものを承認する。

☐ 第III欄に示されているように、法施行規則第47条(PCT規則38.2(b))の規定により国際調査機関が作成した。出願人は、この国際調査報告の発送の日から1カ月以内にこの国際調査機関に意見を提出することができる。

6. 要約書とともに公表される図は、

第 1 図とする。 ☒ 出願人が示したとおりである。

☐ なし

☐ 出願人は図を示さなかった。

☐ 本図は発明の特徴を一層よく表している。

## A. 発明の属する分野の分類 (国際特許分類 (IPC))

Int. Cl<sup>7</sup> G11B27/00

## B. 調査を行った分野

調査を行った最小限資料 (国際特許分類 (IPC))

Int. Cl<sup>7</sup> G11B27/00 20/10 G06F3/00

最小限資料以外の資料で調査を行った分野に含まれるもの

日本国実用新案公報 1922-1996

日本国公開実用新案公報 1971-2001

日本国登録実用新案公報 1994-2001

日本国実用新案登録公報 1996-2001

国際調査で使用した電子データベース (データベースの名称、調査に使用した用語)

## C. 関連すると認められる文献

| 引用文献の<br>カテゴリー* | 引用文献名 及び一部の箇所が関連するときは、その関連する箇所の表示  | 関連する<br>請求の範囲の番号 |
|-----------------|--|------------------|
| Y               | JP 9-167473 A (ソニー株式会社)<br>24.06.1997 (24.06.97)<br>第2-7頁、図1-10 (ファミリーなし)          | 1-12             |
| Y               | JP 10-308088 A (ソニー株式会社)<br>17.11.1998 (17.11.98)<br>第3-17頁、図1-33<br>& EP 851421 A | 1-12             |
| Y               | JP 7-56787 A (マイクロソフト コーポレーション)  | 1-12             |

☒ C欄の続きにも文献が列挙されている。☐ パテントファミリーに関する別紙を参照。

## \* 引用文献のカテゴリー

「A」 特に関連のある文献ではなく、一般的技術水準を示すもの

「E」 国際出願日前の出願または特許であるが、国際出願日以後に公表されたもの

「L」 優先権主張に疑義を提起する文献又は他の文献の発行日若しくは他の特別な理由を確立するために引用する文献 (理由を付す)

「O」 口頭による開示、使用、展示等に言及する文献

「P」 国際出願日前で、かつ優先権の主張の基礎となる出願

の日の後に公表された文献

「T」 国際出願日又は優先日後に公表された文献であって出願と矛盾するものではなく、発明の原理又は理論の理解のために引用するもの

「X」 特に関連のある文献であって、当該文献のみで発明の新規性又は進歩性がないと考えられるもの

「Y」 特に関連のある文献であって、当該文献と他の1以上の文献との、当業者にとって自明である組合せによって進歩性がないと考えられるもの

「&amp;」 同一パテントファミリー文献

国際調査を完了した日

25.09.01

国際調査報告の発送日

02.10.01

国際調査機関の名称及びあて先

日本国特許庁 (ISA/JP)

郵便番号100-8915

東京都千代田区霞が関三丁目4番3号

特許庁審査官 (権限のある職員)

竹中 辰利

電話番号 03-3581-1101 内線 3590

5Q

9197

| C (続き) . 関連すると認められる文献 |   |                  |
|-----------------------|---|------------------|
| 引用文献の<br>カテゴリー*       | 引用文献名 及び一部の箇所が関連するときは、その関連する箇所の表示   | 関連する<br>請求の範囲の番号 |
|                       | 03. 03. 1995 (03. 03. 95)<br>第4-8頁、図1-15<br>& EP 632367 A<br>& US 5758360 A |                  |
| A                     | JP 9-171676 A (ソニー株式会社)<br>30. 06. 1997 (30. 06. 97)<br>全文、全図 (ファミリーなし)     | 1-12             |
| A                     | JP 9-34906 A (ソニー株式会社)<br>07. 02. 1997 (07. 02. 97)<br>全文、全図 (ファミリーなし)      | 1-12             |